



**UNITED STATES PATENT AND TRADEMARK OFFICE**

2164 0360  
 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/753,033	12/30/2000	Timothy R. Collier	42390P10501

**CONFIRMATION NO. 9680**

**FORMALITIES LETTER**



\*OC000000006120689\*

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
 Seventh Floor  
 12400 Wilshire Boulevard  
 Los Angeles, CA 90025-1026

Date Mailed: 06/29/2001  
**RECEIVED**

**NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)**

*Filing Date Granted*

JUL 31 2001

Technology Center 2100

The U.S. Patent and Trademark Office has received your reply on to the Notice mailed and it has been entered into the nonprovisional application. The reply, however, doesnot include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may,however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a)accompnied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

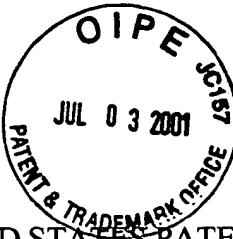
*A copy of this notice **MUST** be returned with the reply.*

*wt.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Collier, et al. ) Examiner: Not yet assigned  
Application No.: 09/753,033 ) Art Unit: 2164  
Filed: December 30, 2000 )  
For: A TENTATIVE-HOLD BASED )  
PROTOCOL FOR DISTRIBUTED )  
TRANSACTION PROCESSING)

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RESPONSE TO NOTICE OF INCOMPLETE REPLY  
(NONPROVISIONAL)

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice of Incomplete Reply (Nonprovisional) mailed May 29, 2001,  
please find enclosed:

- (1) true and correct copies of Applicant's Response to Notice to File Missing Parts and accompanying documents mailed on May 14, 2001; and
- (2) a copy of the Notice of Incomplete Reply.

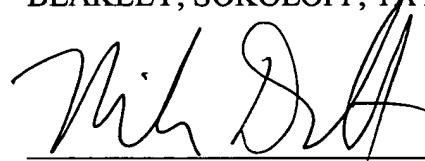
Applicant has previously filed a Response to Notice to File Missing Parts in which substitute drawings in compliance with 37 C.F.R. §1.84(g) were submitted to Box Missing Parts. Applicant assumes the Patent and Trademark Office has received these substitute drawings and finds them to be satisfactory.

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 4/25/01



Michael A. DeSanctis  
Reg. No. 39,957

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JUL 31 2001

Technology Center 2100

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025-1026  
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: June 28, 2001

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen 6-28-01  
Signature Date

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP  
7887 EAST BELLEVUE AVENUE, SUITE 800  
DENVER, CO 80111

WELLS FARGO BANK

001487

May 11, 2001

11-24  
1210(8)

PAY One hundred ten and no/100ths ----- DOLLARS \$ 110.00

TO  
THE  
ORDER  
OF Director of the United States  
Patent and Trademark Office



AUTHORIZED SIGNATURE

001487 1210002481 4801 914714

DO NOT CASH THIS CHECK UNLESS YOU CAN SEE THE WORDS "CHECK PROTECT" ON REVERSE SIDE

DETACH AND RETAIN THIS STATEMENT  
THE ATTACHED CHECK IS IN PAYMENT OF ITEMS DESCRIBED BELOW.  
IF NOT CORRECT PLEASE NOTIFY US PROMPTLY. NO RECEIPT DESIRED.

Fee for one-month extension of time to file Response to  
Notice to File Missing Parts (corrected drawings):  
Intel Corporation  
42390P10501  
"A Tentative-Hold Based Protocol For Distributed  
Transaction Processing"  
EHT/MAD/fr

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JUL 31 2001

Technology Center 2100



001487

Our Docket No: 42390P10501

PATENT



~~SEARCHED~~ ~~SERIALIZED~~ ~~INDEXED~~ ~~FILED~~

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Collier, et al. ) Examiner: Not yet assigned  
Application No.: 09/753,033 ) Art Unit: 2164  
Filed: December 30, 2000 )  
For: A TENTATIVE-HOLD BASED )  
PROTOCOL FOR DISTRIBUTED )  
TRANSACTION PROCESSING )

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JUL 31 2001

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**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)**

**Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231**

Sir:

In response to the Notice to File Missing Parts of Application (Filing Date Granted) mailed February 28, 2001, please find enclosed:

- (1) nine (9) pages of substitute drawings in compliance with 37 C.F.R. §1.84;
  - (2) a check in the amount of \$110.00 representing an extension for reply within the first month;
  - (3) a copy of the Notice to File Missing Parts of Application;

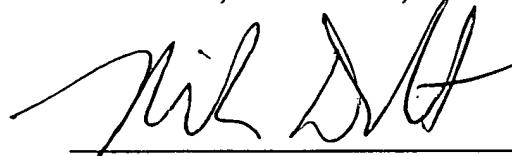
Applicant has previously submitted a Response to this Notice to File Missing Parts of Application in which the executed Declaration and Power of Attorney was transmitted to the Patent and Trademark Office. A check in the amount of \$130.00 in payment of the surcharge per 37 C.F.R. §1.16(e) was also enclosed.

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 5/11/01



Michael A. DeSanctis  
Reg. No. 39,957

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025-1026  
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: May 14, 2001

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen 5-14-01  
Signature Date



PTO/SB/17(11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$ 110.00

Complete if Known:

Application No. 09/753,033Filing Date December 30, 2000First Named Inventor Timothy R. Collier, et al.Group Art Unit 2164Examiner Name UnassignedAttorney Docket No. 42390P10501

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JUL 31 2001

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## METHOD OF PAYMENT (check one)

- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name \_\_\_\_\_

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status. See 37 CFR 1.27

2. X Payment Enclosed: X

Check

Credit Card

Money Order

Other

## FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee	Fee	Fee	
Code	Fee	Code	
101	710	201	Utility application filing fee
106	320	206	Design application filing fee
107	490	207	Plant filing fee
108	710	208	Reissue filing fee
114	150	214	Provisional application filing fee

SUBTOTAL (1) \$ \_\_\_\_\_

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	- 20** =	X \$ 18.00	= \$
Independent Claims	- 3** =	X \$ 80.00	= \$
Multiple Dependent			

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description
Code	(\\$)	Code	(\\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ \_\_\_\_\_

FEE CALCULATION (continu d)

## 3. ADDITIONAL FEES

O I P E  
JUL 03 2001  
P A T E N T  
O F F I C E  
U S P T O

Larg Entity Fee	Fee	Small Entity Fee	Fee	Fee Description	
Cod	(\$)	Code	(\$)		
105	130	205	65	Surcharge - flat filing fee or oath	
127	50	227	25	Surcharge - flat provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	\$ 110.00
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

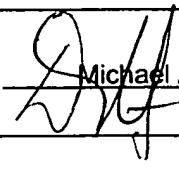
Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) \$ 110.00

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY:

Typed or Printed Name: Michael A. DeSanctis

Signature:  Date: 5/11/01

Reg. Number: 39,957 Telephone Number: (303) 740-1980

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## FIRST CLASS CERTIFICATE OF MAILING

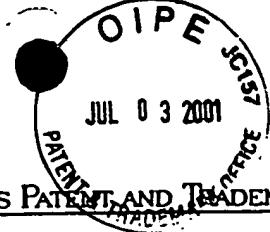
I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: May 14, 2001

Name of Person Mailing Correspondence: Signature:  Date: 5-14-01



UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/753,033	12/30/2000	Timothy R. Collier	42390P10501

CONFIRMATION NO. 9680

FORMALITIES LETTER

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Seventh Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025-1026

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MAR - 6 2001



OC000000005808660

Date Mailed: 02/28/2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES  
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NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION JUL 31 2001

FILED UNDER 37 CFR 1.53(b)

*BLAKELY, S.*  
Filing Date Granted

Technology Center 2100

**ENTERED**

MAR - 6 2001

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

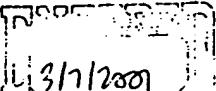
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JUL 3 2001

A copy of this notice **MUST** be returned with the reply.

S. U. S. L. U. S. A. D. B. A. S. E. D. P. T.

JC



31/12/2001



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MAY 9 2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

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JUL 31 2001

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Serial/Patent No.: 09/753,033 Filing/Issue Date: Dec. 30, 2000

Client: Intel Corporation

Title: A Tentative-Hold Based Protocol For Distributed Transaction Processing

BSTZ File No.: 42390P10501

Date Mailed: 5-14-01 Atty/Secty Initials: EHT/MAD/fr

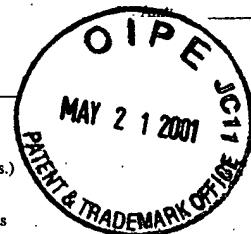
Docket Due Date: 4-28-01

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- Amendment/Response (       pgs.)
- Appeal Brief (       pgs.) (in triplicate)
- Application - Utility (       pgs., with cover and abstract)
- Application - Rule 1.53(b) Continuation (       pgs.)
- Application - Rule 1.53(b) Divisional (       pgs.)
- Application - Rule 1.53(d) CPA Transmittal (       pgs.)
- Application - Design (       pgs.)
- Application - PCT (       pgs.)
- Application - Provisional (       pgs.)
- Assignment and Cover Sheet
- Certificate of Mailing
- Declaration & POA (       pgs.)
- Disclosure Docs & Org & Copy of Inventor's Signed Letter (       pgs.)
- Drawings: 9 # of sheets includes 9 figures

- Express Mail No.: \_\_\_\_\_
- One Month(s) Extension of Time
- Information Disclosure Statement & PTO-149 (       pgs.)
- Issue Fee Transmittal
- Notice of Appeal
- Petition for Extension of Time
- Petition for \_\_\_\_\_
- Postcard
- Power of Attorney (       pgs.)
- Preliminary Amendment (       pgs.)
- Reply Brief (       pgs.)
- Response to Notice of Missing Parts
- Small Entity Declaration for Indep. Inventor/Small Business
- Transmittal Letter, in duplicate
- Fee Transmittal, in duplicate

Other: Copy of Notice to File Missing Parts



R E C E I V E D  
JUN 04 2001

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JUN 01 2001

B.S.I.Z. DATABASE DEPT.

[Signature]

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP  
DENVER  
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MAY 30 2001  
STATUS DB-LA